

AMS/FAST CHANGE REQUEST (CR) COVERSHEET

Change Request Number: 17-08

Date Received: Nov 30, 2016

Title: Non-NAS Ops Funded Capital Investment Policy

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Initiator Organization Name / Routing Code: Life Cycle Acquisition Policy, AAP-130

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Policy and Guidance: (check all that apply)

- ☒ Policy
- ☐ Procurement Guidance
- ☐ Real Estate Guidance
- ☐ Other Guidance
- ☐ Non-AMS Changes

Summary of Change: The change adds a section to Policy describing the non-NAS Ops Funded acquisition process, scope and governance authorities.

Reason for Change: The change is required to codify the non NAS process and to implement the governance into AMS. New structures, processes, and policy will increase collaboration between customers and shared services; improve enterprise-wide risk management; and provide for quick, streamlined acquisition of non-NAS Ops funded capital investments for the customer.

Development, Review, and Concurrence: ASAG and AEB.

Target Audience: Lines of Business required to utilize the non NAS Ops Funded Process, the Acquisition Readiness Teams, and supporting acquisition personnel

Briefing Planned: Yes.

ASAG Responsibilities: Review and comment. ASAG & AEB approved.

Section / Text Location: New AMS Policy Section 2.8

The redline version must be a comparison with the current published FAST version.

☐ I confirm I used the latest published version to create this change / redline

or

☒ This is new content

Links:

Attachments: New policy attached.

Other Files: N/A

Redline(s):

Section Added: 2.8 – Non-NAS Operations-Funded Lifecycle Management Policy

Acquisition Management Policy - (1/2017)

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[2.8.3.7 Deployment](#) Added 1/2017

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2.8 Non-NAS Operations-Funded Lifecycle Management Policy Added 1/2017

2.8.1 Overview Added 1/2017

The non-NAS Operations-funded process establishes policy and guidance for all aspects of acquisition management for Federal Aviation Administration procurement of non-NAS Ops-funded investment initiatives. The objectives are to increase quality, reduce time, manage risk, and minimize the cost of delivering safe and secure Ops-funded capital assets and services. This policy promotes these objectives through partnership among service providers and customers to ensure FAA plans, programs, and budgets address priority agency and end-user needs.

Lifecycle acquisition management for non-NAS Ops-funded investments is built around a logical sequence of phases and decision points. The FAA uses these phases and decision points to determine and prioritize its needs, make sound investment decisions, implement solutions efficiently, and manage services and assets over their lifecycle. The overarching goal is continuous improvement in the delivery of safe, secure, and efficient assets and services over time. The non-NAS Ops-funded process is flexible and may be tailored by the Acquisition Executive Board (AEB), Joint Resources Council (JRC), or Operations Governance Board (OGB).

2.8.2 Governance Added 1/2017

2.8.2.1 Authority Added 1/2017

The Joint Resources Council oversees all capital investments at FAA regardless of funding appropriation whether Operations and Maintenance, Research, Engineering & Development, Airport Improvement Program, or Facilities and Equipment. The JRC delegates investment decision-making for non-NAS Ops-funded initiatives to the OGB. It delegates non-NAS strategy development to the Information Technology Shared Services Committee, which also oversees the performance of information technology investments.

2.8.2.2 Scope Added 1/2017

The OGB oversees investment initiatives with the following three attributes:

- Non-NAS
 - Investments not included in the NAS Enterprise Architecture
 - Investments included in the non-NAS Enterprise Architecture
 - Investments not included in either architecture, but deemed within scope by the Operations Governance Board or Joint Resources Council
- Ops-Funded

- Investments that providers intend to fund entirely from the Operations and Maintenance account
- Capital Investment
 - Acquisition of a new or modernized FAA product, system, or service that results in a capital asset such as land, structures, equipment, or intellectual property (including software)
 - Typically has a useful life of two years or more
 - Generally does not include investments associated with the repair, operation, or maintenance of previously fielded assets

2.8.2.3 Operations Governance Board Added 1/2017

Through delegation from the Joint Resources Council, the Operations Governance Board is the investment decision authority for non-NAS Ops-funded capital investments. It has permanent members from the following organizations:

- Acquisitions & Business Services (ACQ)
- Investment Planning and Analysis (AFI-1)
- Chief Counsel (AGC)
- Air Traffic Organization (ATO)
- Aviation Safety (AVS)
- Information and Technology Services (AIT)

Representatives from the appropriate line of business attend OGB meetings ad hoc when the investment initiative relates to their business or organizational interests.

2.8.2.4 Planning Artifacts Added 1/2017

The following planning artifacts are required for all non-NAS Ops-funded investment initiatives:

- Intake Form
- Management Plan
- Functional and Performance Requirements
- Government and Market Survey
- Acquisition Strategy
- Scaled Business Case

Templates and instructions for these artifacts are located on the FAA Acquisition System Toolset at: <https://fast.faa.gov>

2.8.2.5 Roles and Responsibilities of Key Participants Added 1/2017

- Acquisition Readiness Team (ART) - collaborates with customers to develop decision-ready investment packages for non-NAS Ops-funded investment initiatives. Typically, Acquisition Readiness Teams assist those investments assigned Governance Path C unless otherwise designated by the OPS Governance Board.
- Information Technology Portfolio Assessment Team - monitors post-decision performance of non-NAS Ops-funded investments against baseline parameters approved by the OPS governance Board or Joint Resources Council. It reports progress, constraints, and challenges to key stakeholders and FAA executives.
- OGB Secretariat – makes governance path recommendations to the OPS Governance Board and manages the non-NAS Ops-funded process.
- Business Partnership Manager – manages customer relations for AIT to capture new customer needs.
- Customer – any FAA organization seeking to execute a non-NAS Ops-funded capital investment.

2.8.2.6 Governance Paths Added 1/2017

The OPS Governance Board assigns one of the following governance paths to non-NAS OPS-funded investment initiatives at the governance path readiness decision or returns the initiative to the sponsoring line of business for additional work or termination.

Governance Path A – The OGB determines the initiative poses very low risk and low funding requirements. The program office or service organization is directed to complete all planning artifacts and proceed to solution development and deployment at the governance path readiness decision. Completion of planning artifacts is mandatory although there is no independent confirmation other than random spot checks and reviews.

Governance Path B – The OGB determines the initiative poses low to medium risk and higher funding requirements. The program office or service organization is directed to complete all planning artifacts and any OGB-directed checklist items. Approval to proceed may occur at the governance path readiness decision pending verification by the OGB Secretariat that all planning artifacts and checklist items have been completed.

Governance Path C – The OGB determines the initiative poses medium to high risk and high funding requirements. The program office or service organization is directed to work with an ART to prepare all planning artifacts including a scaled business case. The initiative returns to the OPS Governance Board for a business case decision once all planning artifacts are confirmed as complete and of high quality by the Acquisition Readiness Team and OGB Secretariat. The OPS Governance Board may approve the

program to enter the deployment phase or it may direct further work on the business case and planning artifacts to be presented at the investment commitment decision.

2.8.3 Non-NAS Ops Funded Process Added 1/2017

The following phases and decision points constitute the non-NAS Ops-funded process. The actual path taken by each investment initiative depends on the governance path assigned by the OPS Governance Board.



Figure 2.8.3

2.8.3.1 Need Assessment Added 1/2017

Lines of business / business owners complete an intake form describing the project name, business owner contact information, estimated lifecycle costs, business problem/need description, business drivers/mandates, and when the product needs to be delivered to the user community. The intake form is submitted to the Acquisition Control Office (AAP-400) and OGB Secretariat at least 21 days before the commitment of funding to any contract, task order, or inter-agency agreement (IAA) in support of the proposed project. AAP-400 reviews the intake form and recommends a governance path for the initiative to the OPS Governance Board. The FAA Information Technology (AIT) organization will not authorize funds to be expended on behalf any project before an OGB decision.

2.8.3.2 Governance Path Readiness Decision (DP) Added 1/2017

Entrance Criteria

- Intake Form

The OPS Governance Board:

- Approves the governance path recommended by the OGB Secretariat and assigns an ART (if applicable) with representatives from relevant stakeholder organizations; or
- Selects an alternative governance path based on OGB consensus; or
- Returns the initiative to the sponsoring line of business for additional discovery (e.g., requirements definition or additional market research).

2.8.3.3 Alternatives Analysis Added 1/2017

The sponsoring line of business / business owner and ART (if designated) creates all planning artifacts and develops a scaled business case for the investment initiative. The analysis typically focuses on alternative acquisition approaches not necessarily on technical alternatives. The Acquisition Readiness Team ensures the alternative emerging from the analysis fits within the overall agency strategy for obtaining the operational capability and can provide the performance and functionality needed by users.

The results of alternatives analysis helps the OPS Governance Board determine which potential investments would improve agency operations and deliver desired outcomes to end users. This supports sound capital investment planning, which guides and prioritizes current and future non-NAS, Ops-funded projects. These analyses also help refine and mature agency plans by providing decision-makers with a clear picture of investment opportunities and their risks and value.

2.8.3.4 Business Case Decision (DP) Added 1/2017

Entrance Criteria:

- Management Plan
- Functional and Performance Requirements
- Government and Market Survey
- Acquisition Strategy
- Preliminary Scaled Business Case

The OPS Governance Board:

- Approves the investment to enter solution development to complete planning artifacts along with any additional OGB-directed requirements, or
- Returns the investment to alternatives analysis to refine or modify planning artifacts, or
- Recommends the initiative be paused, modified, or cancelled.

2.8.3.5 Solution Development Added 1/2017

The sponsoring line of business and ART review and revise as necessary required planning artifacts, verify their completeness and accuracy, and execute any other direction from the OPS Governance Board (e.g., prepare request or offer, task order, or interagency agreement). The OGB Secretariat records planning artifacts as complete and maintains final copies.

2.8.3.6 Investment Commitment Decision (DP) Added 1/2017

Entrance Criteria:

- Final scaled business case

The OPS Governance Board reviews the final scaled business case and other planning artifacts' ensuring the investment presents an opportunity to improve operating capability, satisfy customer service needs, and is a sensible use of agency resources. It then:

- Approves the project to enter deployment, or
- Returns the initiative to the solution development phase for additional work, or
- Recommends the initiative for termination.

2.8.3.7 Deployment Added 1/2017

Deployment begins at the investment commitment decision when the OGB approves an investment program and recommends the line of business proceed with implementation. The deployment phase ends when the new service or capability is operational at all locations.

The overarching goal of deployment is to satisfy requirements in the Functional and Performance Requirements document and to fulfill the Management Plan approved by the OGB. The line of business is ultimately responsible for end user acceptance. To achieve this, it must work with key stakeholders, especially end users, throughout deployment to resolve issues as they arise.

Actions outside the control of the line of business (e.g., regulatory changes) are recorded in the acquisition strategy and tracked at program reviews throughout deployment. Activities undertaken during this phase vary widely and are tailored for the solution or capability being implemented.

2.8.3.8 Operation and Retirement Added 1/2017

The operating service organization operates, maintains, secures, and sustains systems and services in real time to provide the level of service required by users and customers. The providing line of business oversees and manages service delivery within their area of responsibility. This includes managing resources within specific geographical areas, and may involve emergency sustainment actions in response to natural disasters or other unanticipated events.

When a fielded capability is projected to be unable to satisfy service demand or when another solution offers improved safety or security, lower cost, or higher performance, the providing line of business initiates action to enter the need assessment phase leading to a new initiative. The providing LOB must remove and dispose of fielded assets and services when they are no longer needed. This activity includes restoration of locations where obsolete products or services were deployed, proper disposal of government property and records, recovery of precious metals, and cannibalization of useful assets.